

2878

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: S. Deliwala :
Serial No.: 09/859,647 : Examiner: Not yet known
Filed: May 17, 2001 : Group No.: 2878
For: OPTICAL LENS APPARATUS AND : Attorney Docket No.: 053168-5005
ASSOCIATED METHOD :



INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicant cites the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(a), copies of the patents and publications set forth below and listed on the attached Form PTO/SB/08A have been provided.

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CERTIFICATE OF MAILING (37 C.F.R. § 1.8)

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited on the date shown below with the U.S. Postal Service with sufficient postage as first-class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name Daniel H. Golub Signature [Signature] Date of Deposit April 11, 2002

04/22/2002 RMBRAHT 00000054-500310 09859647
01 FC:126 100.00 CH

Void date: 04/22/2002 RMBRAHT
04/22/2002 RMBRAHT 00000054-500310 09859647
01 FC:126 100.00 CH

U.S. Patent Document No.	Patentee	Publication Date
5,880,491	Soref et al.	03/09/99
4,728,167	Soref et al.	03/01/88
4,261,638	Wagner	04/14/81
5,875,271	Laughlin	02/23/99
4,857,973	Yang et al.	08/15/89
5,841,916	Laughlin	11/24/98
6,137,930	Laughlin	10/24/00
5,682,455	Kovacac et al.	10/28/97
6,163,632	Rickman et al.	12/19/00
5,444,567	Kataoka	08/22/95
5,652,681	Chen et al.	07/29/97
6,282,357 B1	Kadota et al.	08/28/01
6,259,841 B1	Bhagavatula	07/10/01
6,118,911	Bennett et al.	09/12/00
6,049,639	Paniccia et al.	04/11/00

Foreign Patent Document No.	Patentee/Applicant	Publication Date
WO-99/09514-A1	Advanced Precision	02/25/99
WO-00/49451-A1	Bookham Technology	08/24/00
WO-99/60433-A1	Bookham Technology	11/25/99
WO-99/34485-A1	Bookham Technology	07/08/99
WO-01/50166-A1	Bookham Technology	07/12/01
WO-01/67172-A1	Bookham Technology	09/13/01

Applicant respectfully requests that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Form PTO/SB/08A with the next official action.

Applicant also wishes to bring to the Examiner's attention the applications set forth on Exhibit A, all of which are owned by the assignee of the present invention, and which may disclose or claim subject matter in respect of which there may be a duty to disclose.

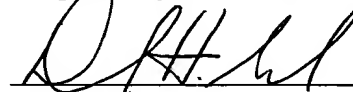
While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the

patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

The Commissioner is hereby authorized to charge any deficiency in the fees due for this Information Disclosure Statement to Deposit Account No. 50-0310. A duplicate of this paper is enclosed.

Respectfully submitted,



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215.963.5055

Dated: April 11, 2002

EXHIBIT A

Docket No.	TITLE	INVENTORS	PATENT/ SERIAL NO.	ISSUE/ FILING DATE
053168-5003	Electronic Semiconductor Control of Light in Optical Waveguide	S. Deliwala	09/859,693	05/17/01
053168-5003-01	Integrated Optical/Electronic Circuits and Associated Methods of Simultaneous Generation Thereof	S. Deliwala	09/991,542	11/10/01
53168-500301D1	Optical Coupler Having Evanescent Coupling Region	S. Deliwala	10/074,408	02/12/02
53168-500301D2	Method of Forming Passive Optical Coupling Device	S. Deliwala	10/077,026	02/15/02
53168-500301D3	Simulation Program for Integrated Optical/Electronic Circuit	S. Deliwala	10/076,920	02/15/02
53168-500301D4	Shallow Photonic Bandgap Device	S. Deliwala	10/078,972	02/19/02
53168-500301D5	Focusing Mirror and Lens	S. Deliwala	10/078,203	02/19/02
53168-500301D6	Hybrid Active and Electronic Circuit with Evanescent Coupling	S. Deliwala	10/079,668	02/20/02
53168-500301D7	Hybrid Active Electronic and Optical Fabry Perot Cavity	S. Deliwala	10/079,310	02/20/02

53168-500301D8	Hybrid Multiplexer/Demultiplexer	S. Deliwala	10/079,073	02/20/02
053168-5003-02	Anisotropic Etching of Optical Components	S. Deliwala K. Montgomery	09/991,371	11/10/01
053168-5004	Optical Modulator Apparatus and Associated Method	S. Deliwala	09/859,297	05/17/01
053168-5006	Optical Deflector Apparatus and Associated Method	S. Deliwala	09/859,239	05/17/01
053168-5007	Optical Filter Apparatus and Associated Method	S. Deliwala	09/859,338	05/17/01
053168-5008	Dynamic Gain Equalizer Apparatus and Associated Method	S. Deliwala	09/859,279	05/17/01
053168-5009	Self-Aligning Modulator Apparatus and Associated Method	S. Deliwala	09/859,769	05/17/01
053168-5010	Programmable Delay Generator Apparatus and Associated Method	S. Deliwala	09/859,321	05/17/01
053168-5011	Polarization Control Apparatus and Associated Method	S. Deliwala	09/859,663	05/17/01
053168-5012	Interferometer Apparatus and Associated Method	S. Deliwala	09/859,786	05/17/01



PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		Complete if Known			
		Application Number	09/859,647		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	05/17/2001		
		First Named Inventor	Dejiwala		
		Art Unit	2878		
		Examiner Name	Not yet known		
Sheet	1	of	1	Attorney Docket Number	053168-5005

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number- Kind Code ² (if known)				
	A	US-	5,880,491	03-09-1999	Soref et al.	
	B	US-	4,728,167	03-01-1988	Soref et al.	
	C	US-	4,261,638	04-14-1981	Wagner	
	D	US-	5,875,271	02-23-1999	Laughlin	
	E	US-	4,857,973	08-15-1989	Yang et al.	
	F	US-	5,841,916	11-24-1998	Laughlin	
	G	US-	6,137,930	10-24-2000	Laughlin	
	H	US-	5,682,455	10-28-1997	Kovacic et al.	
	I	US-	6,163,632	12-19-2000	Rickman et al.	
	J	US-	5,444,567	08-22-1995	Kataoka	
	K	US-	5,652,681	07-29-1997	Chen et al.	
	L	US-	6,262,357B1	08-28-2001	Kadota et al.	
	M	US-	6,259,841B1	07-10-2001	Bhagavatula	
	N	US-	6,118,911	09-12-2000	Bennett et al.	
	O	US-	6,049,639	04-11-2000	Paniccia et al.	
		US-				
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FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)					
	P	WO-99/09514 - A1		02-25-1999	Advanced Precision		
	Q	WO-00/49451 - A1		08-24-2000	Bookham Tech.		
	R	WO-99/60433 - A1		11-25-1999	Bookham Tech.		
	S	WO-99/34485 - A1		07-08-1999	Bookham Tech.		
	T	WO-01/50166 - A1		07-12-2001	Bookham Tech.		
	U	WO-01/67172 - A1		09-13-2001	Bookham Tech.		

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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